

CITY OF DURHAM GOALS & FY 2012-13 STRATEGIC PLAN

At the April 18th, 2011 Council Meeting the Durham City Council adopted a new strategic plan for the City and five new over-arching goals:

1. Strong and Diverse Economy
2. Safe and Secure Community
3. Thriving Livable Neighborhoods
4. Well Managed City
5. Stewardship of City's Physical Assets

To achieve consistent and planned results, it is essential that all organizational efforts are pointed in the same direction. The Strategic Planning process involves City Council, the City Manager's Office, employees, citizens and other stakeholders. During the Strategic Planning process, goals, objectives, outcome measures, initiatives and the key priorities were determined. The Strategic Plan serves as the framework for accomplishing these priorities. To ensure success, the organization has integrated the plan into annual budgets, daily operations and organizational measurements.

To achieve the goals of the plan, the City has developed and continues to monitor useful data. With this data, the City can develop strategies for improving outcomes in the areas that have been identified as goals. After the strategies are implemented, we can monitor successes and short-comings toward achieving goals by tracking the data. We intend to focus our budget and policy discussions on achieving the results we want, rather than competing for scarce resources.

As we develop and monitor community-wide indicators and departmental performance measures, we strive to identify the most meaningful data elements. Rather than focusing on how much we performed or how well we did it, we are trying to answer the question, "Is anyone better off?"



FY 2012-13

www.DurhamNC.gov/StrategicPlan

Revised 1/31/12

Table of Contents

City Council FY12/13.....	4
Introduction	5
Letter from the City Manager	5
About Durham	6
The Mission	6
The Vision.....	6
Overview	7
Why Prepare a Strategic Plan?.....	8
Strategic Planning Process.....	8
Creating the Strategic Plan.....	10
Core Products and Services	10
Key Stakeholders	10
SWOC Analysis	11
SWOC Summary	12
Core Organizational Values.....	13
Goals, Objectives, Measures and Initiatives	14
Goals	15
Community Partnerships.....	22
Implementing the Strategic Plan	24
The Approach	24
Strategic Planning Calendar 2010-2013	27
Appendix	28
Definition of Terms.....	28
Who Worked on the Plan.....	29

City Council FY12/13



Mayor
William V. 'Bill' Bell



Mayor Pro-Tem
Cora Cole-McFadden



Eugene A. Brown



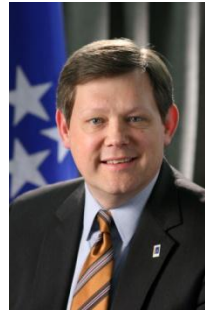
Diane N. Catotti



Howard Clement, III



Steve Schewel



J. Michael Woodard

Introduction

Letter from the City Manager

Dear City Residents and Employees,

As our City continues to grow, the City Council and I are looking to chart a course and create a vision for our future that will ensure our financial viability as well as our standards of living. We engaged our employees, citizens, and stakeholders in a Strategic Planning process throughout 2009 and 2010. The strategic planning process is designed to chart that course, provide focus and strategic direction, and assess our current and future services.



The City of Durham initiated the development of its citywide Strategic Plan in 2008 to identify long-term direction, short-term goals, and action steps for the organization. This highly participatory and transparent process included input and feedback from approximately 700 employees, citizens, and stakeholders. We thank all participants as the City continues to actively identify, recognize, and support the quality services and programs citizens expect from the City, along with the superior service standards that City employees expect of themselves.

The City of Durham Strategic Plan identifies five focus areas that the City Council and the City's management team will advance during the next three years. Our priorities and initiatives are reflected in specific strategic directions and goals in the Plan and our measures of success are clearly outlined.

Again, I am proud to present the City of Durham's first Citywide Strategic Plan, refreshed and realigned in January 2012, which serves as an organizational blueprint and foundation enabling Durham to be a leader in providing an excellent and sustainable quality of life.

I wish to thank the City Council for the support and direction they have provided during this process. It is their strength in leadership and vision that allows the City to excel in providing for the needs of our community today and in the future.

Sincerely,

Thomas J. Bonfield
City Manager

About Durham

The City of Durham has operated under the Council-Manager form of government since 1921. The Durham City Council is comprised of seven members: the Mayor, three members from specific wards, and three at-large members. The terms for City Council seats are staggered. Nonpartisan elections are held every two years. The City covers about 108 square miles and serves a population approaching 234,000. Durham's is a community that embraces its diversity. It is proud to be the home of Duke University, North Carolina Central University, and the Research Triangle Park.

Organization Profile

City Budget, Fiscal Year 2011-12.....	\$362.5 million
General Fund Budget, Fiscal Year 2011-12	\$182.8 million
Full-Time Employees	2,384
Departments	24
Bond Rating	AAA

The Mission

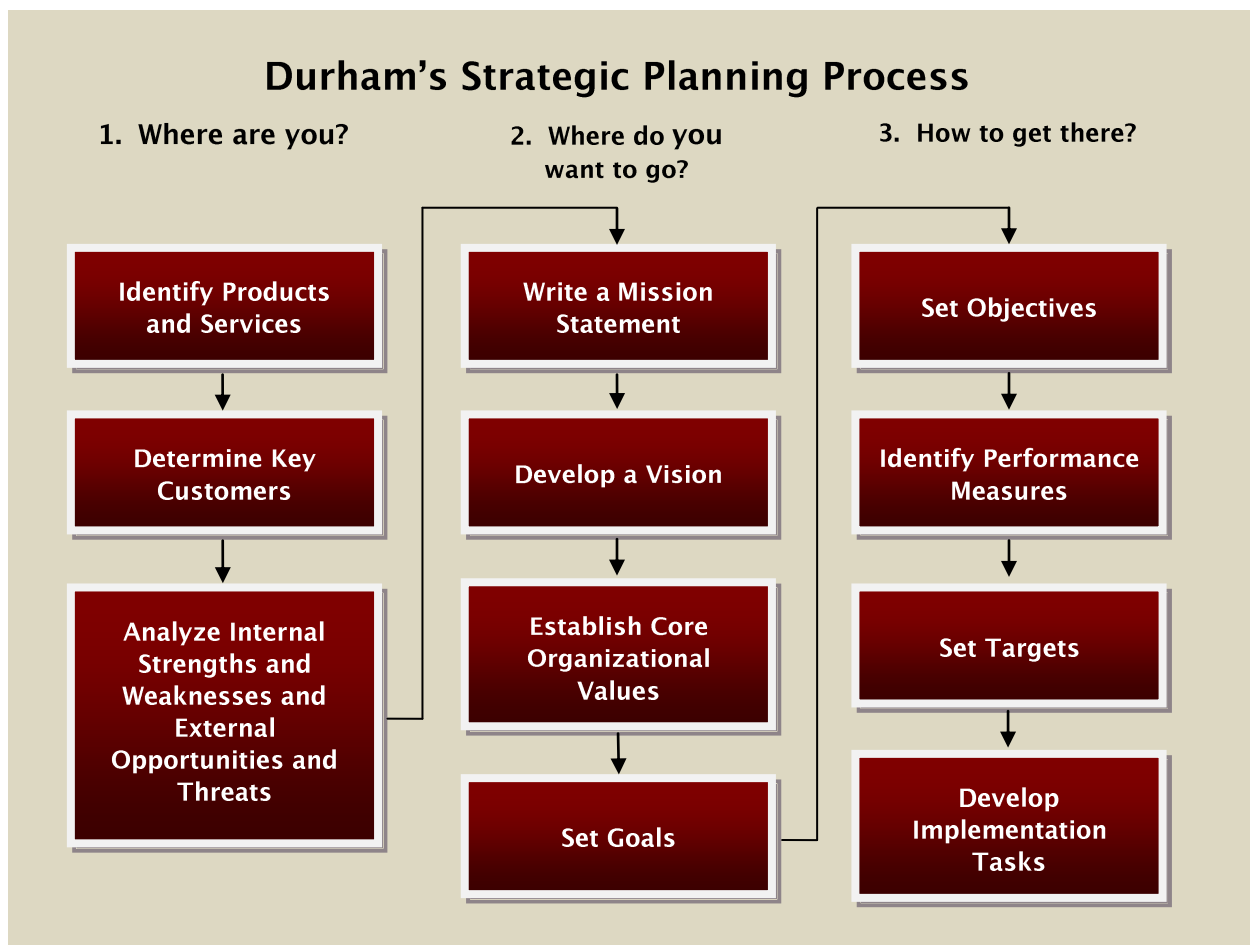
To provide quality services to make Durham a great place to live, work, and play.

The Vision

Durham is the leading city in providing an excellent and sustainable quality of life.

Overview

This report presents the Durham Strategic Plan. This section describes what the Strategic Plan is and why it is important for Durham's future. The Strengths, Weaknesses, Opportunities, and Challenges (SWOC) section explains how Durham perceives its internal strengths, internal weaknesses, external opportunities, and external challenges. It describes the City's vision and its mission, and the goals that the City wants to achieve. It explains objectives that help move the City toward its goals, and ways to measure progress in accomplishing the objectives. The Plan section also includes a list of specific initiatives to accomplish the objectives. The Implementation section provides the plan approach along with the roles of the various teams. Finally, the Conclusion provides a calendar of Strategic Plan milestones and a list of the City staff involved in preparing the Plan.



Strategic Planning Roadmap

Why Prepare a Strategic Plan?

In November 2008, the Administration, proposed developing a citywide Strategic Plan to set direction for the future of the city and guide decision-making and resource allocation. Knowing the vision for a community is one required element for a city's success; another is having a roadmap, or a strategic plan, that improves efficiency and effectiveness along with promoting strategic thinking, acting, and learning. The resulting plan translates the community's vision and City Council's goals into actions by the City, enabling the organization to better serve the community.



Department Director Retreat

The City's Strategic Plan outlines the goals, objectives, measures, and includes a list of specific initiatives the City will focus on to accomplish the objectives. By looking ahead and asking our stakeholders what they need, we establish a vision for what level of service we will provide, along with an understanding of what resources will be necessary to provide them.

This plan is prioritized around key initiatives developed with input from the City Council, key stakeholders, and the community. Since the community, the economy, and the organization are continually changing, this plan should be considered as a beginning, rather than an end.

Strategic Planning Process

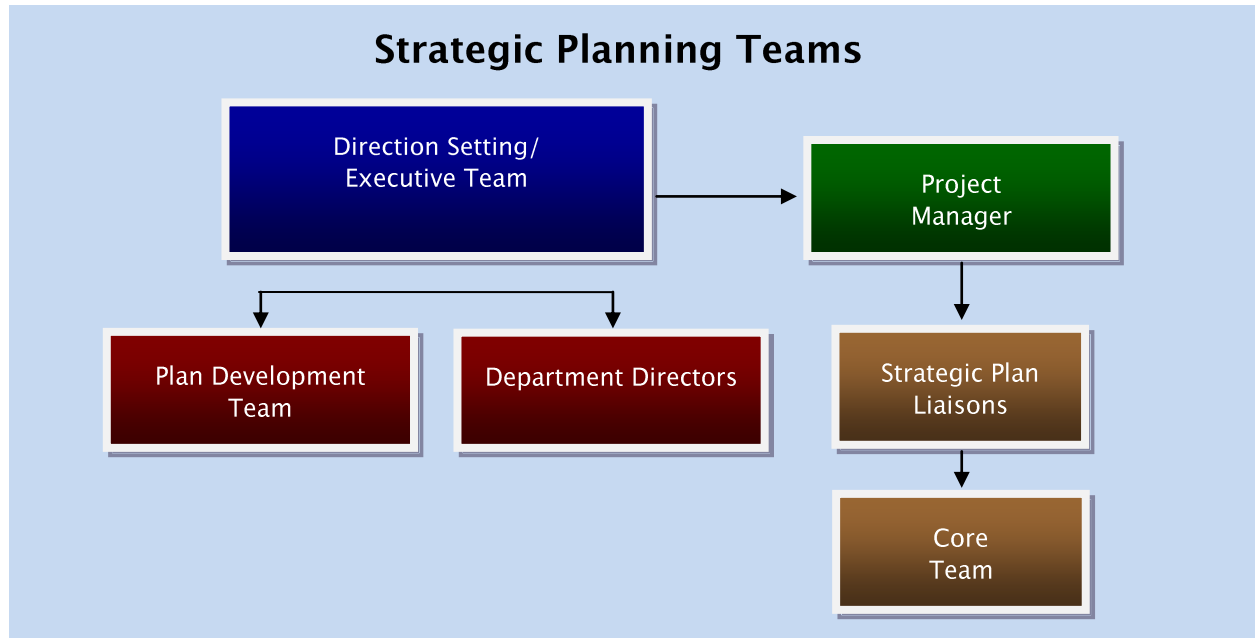
In November 2008, the Administration proposed and defined the scope of work for a citywide Strategic Plan. Staff spent several months benchmarking cities that successfully implemented a Strategic Plan and conducted a comprehensive analysis of all existing City plans. It was important to gain a better understanding of what commitments already existed and the status of those commitments.

The City is fortunate to have the internal capacity to support a citywide strategic planning process, however, Zelos, a consultant with expertise in initiating strategic planning and a proven methodology, was engaged to ensure success for the City of Durham. The consultant provided guidance during the project initiation, design phase, organizational analysis, the development of the Strategic Plan, and the implementation process. It is crucial that departments have the necessary tools to develop departmental plans that align with the citywide plan.

To position the project for success, meetings were scheduled with the consultant, the project manager, and key staff to clarify expected project outcomes, establish roles and responsibilities, and determine key stakeholder groups to be involved with the process.

Five teams were established as follows:

- **Direction Setting Team**-responsible for creating high-level direction
- **Plan Development Team**-responsible for drafting the Strategic Plan
- **Department Directors**-responsible for reviewing the draft Strategic Plan
- **Core Team**-responsible for supporting the entire process
- **Strategic Plan Liaisons Team**-responsible for communicating information about the process to employees



Creating the Strategic Plan

The City adopted an innovative approach for creating the citywide Strategic Plan. The process involves thinking about the nature of the City government as an organization. It is important to identify the core products and services the City provides. The City cannot be all things to all people, so the focus should be on the City's fundamental purposes. Likewise, it is important to recognize the key customers of the City's products and services. While the City's residents are the primary beneficiaries' of its services, there are, in fact, many others.

In creating the Strategic Plan, the City Council and staff took an in-depth look at the mission, vision, and core values of the organization. The City Council approved a new mission and vision statement for the City in 2010, and the Plan Development Team confirmed their continued validity. Finally, staff examined the values that the City wishes to foster among its employees. The Plan Development Team summarizes all of these below.

Core Products and Services

Deliverables
Public Safety Respond to emergencies, prevent emergencies from occurring, mitigate human suffering, prepare for disasters
Community Development Provide neighborhood planning, improvements, redevelopment and ensure compliance with City codes
Public Works Maintain the City's physical assets (buildings, roads, etc.), manage solid waste and water resources, build new infrastructure and protect the environment
Transportation Plan and operate the City road systems and provide public transportation and parking
Public Information Ensure the public is informed about the City and has opportunities for engagement
Recreational Cultural Programs Maintain parks and recreation facilities and offer various recreational activities

Key Stakeholders

<ul style="list-style-type: none">• Residents• Visitors• Business and Industry	<ul style="list-style-type: none">• Other Government Entities• Property Owners• Higher Education Institutions
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SWOC Analysis

In October 2009, the Strategic Planning process was officially launched at the annual Department Directors retreat. From October through December 2009, staff conducted a Strengths, Weaknesses, Opportunities, and Challenges (SWOC) analysis to answer three critical questions. Where are we now? Where are we going? How are we going to get there?

This phase included the following components:

- Review of the City's existing position;
- Input from the City Council;
- SWOC survey distributed to City Council, Department Directors, staff, citizens and community stakeholders;
- SWOC input from staff via focus groups; and
- Review and comment by various advisory Boards/Committees/Commissions at a joint forum.



In February 2010, the consultant met with the City Council to discuss the results of the SWOC survey and to suggest, from its perspective, what the City's priorities might be. The Plan Development Team revised the City's Vision and Mission statements, identified the products and services, and consolidated the Council Goals. The Team also created objectives, intermediate objectives, measures, and initiatives.



SWOC Summary

Strengths	Weaknesses
<ul style="list-style-type: none"> • City leadership • Dedication of employees • Good customer service • Work quality • Teamwork 	<ul style="list-style-type: none"> • Communication between departments • Communication from management to staff • Accountability • Equipment and facilities maintenance
Opportunities	Challenges
<ul style="list-style-type: none"> • Public - private partnerships • Downtown revitalization • Cultural diversity • Public transportation 	<ul style="list-style-type: none"> • Media / public image of City • Developing & linking public transportation systems • Aging infrastructure • Loss of federal and state funding
Priorities	
<ul style="list-style-type: none"> • Appearance of the City infrastructure (streets, sidewalks, buildings) • Address deferred maintenance • Enhance public transportation • Crime prevention and reduction • Improve customer service 	
Citizen Survey Results	
<ul style="list-style-type: none"> • Maintenance of City streets • Police protection • Transportation • Code enforcement 	

Core Organizational Values

The City of Durham used an inclusive process to determine its core values, involving hundreds of employees from across all departments and all levels of the organization. Employees met in groups and shared what was important to them and what they thought should guide interactions with each other and with citizens. A list of 57 potential values was generated from these sessions. At the first ice cream social, employees voted on the values they believed were most important. From this prioritization, the city arrived at 12 possible values that were narrowed down to our final 7 by the task teams involved in the DurhamFirst initiative.

City of Durham Values	
Our Employees	Essential to our success Do the right thing for the right reasons Stewards of our community Maintain professional behavior and image Strive to exceed our internal customers' service expectations
Integrity	Honesty - consistently telling the truth Trust – keeping commitments and confidences Accountability – being responsible for our actions Respect – treating people the way we want to be treated A strong work ethic – doing our best for the community
Customer Service	Constantly and consistently exceeding our customers' expectations Listening completely and understanding Responding and following through Patience and courtesy
Teamwork	Working together for a common goal Embracing diversity Being open to new ideas Finding strength in unity Recognizing individual strengths
Leadership	Recognizing that everyone is a leader Taking personal responsibility for our actions Being credible Leading by example Serving a higher purpose
Open Communication	Listening for understanding Being honest Respecting others' opinions Giving constructive feedback Knowing it is ok to say, "I don't understand" Knowing we communicate by our appearance, our action and our words
Fairness	Doing the right things for the right reasons Giving everyone the opportunity to grow and succeed Providing good services to ALL of our citizens Taking the needs of the organization and the employee into account

Goals, Objectives, Measures and Initiatives

Durham's citywide Strategic Plan is based on the Durham City Council's vision for the city. In developing the Strategic Plan, the Plan Development Team revisited the Vision and Mission statements to gauge whether they are still valid and useful. Minor changes were proposed and endorsed by the City Council in 2011.



Goals

Goal 1: A Strong and Diverse Economy Maintain and grow a strong and diverse economy through a variety of businesses, industries, and employment opportunities for the community.	
Outcome Measures	<ul style="list-style-type: none"> • Mean Salary (Durham Resident) • Median Salary (Durham Resident) • Percent Growth in Tax Base • Employment Growth • Poverty Rate • Percent of Jobs in Various Sectors
Objectives and Measures	<ol style="list-style-type: none"> 1. Target Business/Industry Recruitment Efforts <ul style="list-style-type: none"> • Number and Value of Building Permits • Net Gain in Jobs 2. Ensure Well Trained, Qualified Community Workforce <ul style="list-style-type: none"> • High School Graduation Rate • Percent of the Community With a Post-Secondary Credential • Adult Literacy 3. Create a Favorable Development Climate <ul style="list-style-type: none"> • Ratio of Commercial/Industrial/Residential Tax Base 4. Encourage Retention and Expansion of Current Businesses <ul style="list-style-type: none"> • Number of Business Relocating Into and Out of Durham 5. Leverage Local and Regional Workforce Development Partnerships <ul style="list-style-type: none"> • Number of Students Graduated from Local Jobs Training Programs • Percentage of JobLink openings filled • Number of job placements overall
Initiatives	<ul style="list-style-type: none"> • Identify Specific Target Industries to Actively Recruit, Incentivize and Retain (i.e., Green or Biotech Industries) • Evaluate the Effectiveness of Existing Incentive Policies and Programs (Financial, Workforce Development and Infrastructure Based) that are Focused on Business Development • Assess Existing Programs Supportive of Small Business/Start Ups to Determine Most Responsive Programs/Gaps that Need to be Addressed • Expand Mayor's Summer Youth Works Program • Identify and Implement Further Development Review Process Improvements (Include Regulatory Issues) • Conduct an Annexation Study in Order to Promote a Strong and Diverse Economy

<p>Goal 2: Safe and Secure Community</p> <p>Provide safe and secure neighborhoods which are fundamental to the quality of life and economic vitality of the city.</p>	
Outcome Measures	<ul style="list-style-type: none"> • Part 1 Property Crimes Per 100,000 Residents • Part 1 Violent Crimes Per 100,000 Residents • Percent of Emergency Response Times within Set Standards • Property Crime Clearance Rate • Violent Crime Clearance Rate • Increase Residents' Perception of Safety (Resident Survey)
Objectives and Measures	<ol style="list-style-type: none"> 1. Reduce Occurrence and Severity of Crime, Fire, and Hazards <ul style="list-style-type: none"> • Homicides, Property Crimes and Violent Crime Rates/Incident and Clearance Rates • Percent of Priority 1/code 3 calls meeting response/time standards 2. Increase Visibility and Accessibility of Public Safety Personnel <ul style="list-style-type: none"> • Vacancy Rate of Specific Funded Positions • Percent Participation in Crime and Fire Prevention Programs 3. Improve Residents Perception of Safety
Initiatives	<ul style="list-style-type: none"> • Improve First Responder Safety and Response Time to Emergency Calls, by Using Improved Technologies and Other Resources that Include Automatic Vehicle Locator (AVL) in Marked Emergency Vehicles • Inventory and Analyze Existing Public Safety Programs for Results • Target Specific Public Safety Problem Areas Through Inter-Agency Collaboration to Achieve Positive Outcomes (Gang Reduction Plan) • Create Centralized Repository for Digital Evidence • Reduce Radio Traffic on Primary Dispatch Channels (target 30% air saturation/hour) • Enhance the City's Public Safety Image Through Effective Communication that Informs Citizens • Coordinate Public Safety and Criminal Justice • Promote Community Policing Philosophy

Goal 3: Thriving Livable Neighborhoods Strengthen the foundation, enhance the value, and improve the quality and sustainability of neighborhoods.		
Outcome Measures	<ul style="list-style-type: none"> Resident Perception of Overall Quality of Neighborhoods Using the Neighborhood Vitality Index to Improve Community Health Access to Affordable, Safe, and Healthy Housing Availability and Quality of Transit, Pedestrian, and Bicycle Facilities and Services Access to Open Space and Recreational Opportunities Environmental Stewardship 	
Objectives and Measures	<ol style="list-style-type: none"> Increase Percentage of Residents Who Rate Their Neighborhoods as Either Good or Excellent in the Biennial Resident Survey <ul style="list-style-type: none"> Percent of Good or Excellent Responses to the “Quality of Your Neighborhood” Question in the Biennial Resident Survey Increase Percentage of Neighborhoods that are Beating the NVI Benchmark (if available) or Where the Trend is Improving (if no target is available) <ul style="list-style-type: none"> Level of Performance Improvement for Sub-components of the NVI Index (i.e., a piece of the total; not the comprehensive index) Increase Voluntary Code Compliance <ul style="list-style-type: none"> Number of Boarded up Houses in Low and Moderate Income Neighborhoods Revitalize Neighborhoods and Encourage Neighborhood Pride <ul style="list-style-type: none"> Percent of Vacant Lots within Southside that are Redeveloped Homeownership Rate within Southside Neighborhood Cleanliness Index Increase Access to Affordable, Safe, and Healthy Housing <ul style="list-style-type: none"> Number of Households Represented by a Neighborhood Association Number of Homeless Persons from Point in Time Count Percent of Households Paying No More Than 30% of Income for Rent Increase Transportation Choices and Local & Regional Connectivity <ul style="list-style-type: none"> Percent of Population within ¼ Mile of Public Transportation Public Transportation Ridership Miles of Bicycle Lanes Miles of Paved Trails Ratio of Sidewalk Miles to Street Miles Increase Access to Recreational Facilities City-wide <ul style="list-style-type: none"> Number of Recreational Facilities Per Capita Compared to Four Largest Benchmark Cities Increase Access to Open Space County-wide <ul style="list-style-type: none"> Number of Acres of Permanently Protected Open Space Per Capita Compared to Four Benchmark Cities Decrease Greenhouse Gas Emissions <ul style="list-style-type: none"> Residential Greenhouse Gas Emissions Pounds Per Capita Percent of Greenhouse Gas Emissions Reduction from Commercial Sector Increase Percentage of Solid Waste Diverted to Recycling <ul style="list-style-type: none"> Percent of Solid Waste Diverted to Recycling Increase Water Conservation and Water Efficiency <ul style="list-style-type: none"> Per Capita Water Consumption 	

Initiatives	<ul style="list-style-type: none"> • Develop a Neighborhood Vitality Index (NVI) Model and Use the Data to Improve Quality of Neighborhoods • Implement Boarded Vacant Properties Remediation Program • Develop a Comprehensive Housing Strategy • Develop a Long-Term Plan to End Homelessness • Establish a Partnership Targeted at Revitalizing Southside Neighborhood • Develop a Regional Plan for Transit, Including but Not Limited to Integration of Light Rail, Commuter Rail, High Speed Rail, and Bus • Evaluate Effectiveness of “Fare Free” Transit (Bull City Connector) • Increase the Efficiency of Durham Transit and Triangle Transit through Centralized Management, Planning and Marketing • Improve the Visibility of Alternative Modes of Transportation by Continuing to Implement Adopted Plans, Including the DurhamWalks! Pedestrian Plan, the Durham Comprehensive Bicycle Transportation Plan, and the Durham Trails and Greenways Master Plan • Improve Pedestrian Safety by Working with the UNC Highway Safety Research Center on a Four-Year Project Focused on Pedestrian Safety Education and Enforcement in Durham, as Funded by the National Highway Traffic Safety Administration (NHTSA) • Conduct City-wide Inventory of Existing Public and Private Recreational Facilities • Update County-wide Inventory of Existing Public and Private Open Space • Develop a Plan to Increase Public Access to Private and Other Publically-owned Recreational Facilities • Implement Neighborhood Energy Retrofit Program • Implement Green Business Challenge • Enhance Recycling and Waste Stream Diversion Efforts • Conduct e-Waste Events • Implement Toilet Rebate Program • Implement Water Leak Detection Program • Teach Environmental Stewardship (e.g., Education and Training about Energy, Solid Waste, and Water)
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<p>Goal 4: Well-Managed City</p> <p>Provide professional management that is accountable, efficient, and transparent.</p>	
<p>Outcome Measures</p>	<ul style="list-style-type: none"> • Resident Satisfaction Rating • Employee Satisfaction Rating • Per Capita Tax Burden • Fiscal Wellness Index (debt ratio, bond rating and fund balance)
<p>Objectives and Measures</p>	<ol style="list-style-type: none"> 1. Engaged Community <ul style="list-style-type: none"> • Resident Satisfaction Survey • Resident participation in city sponsored meetings 2. Provide Seamless Services <ul style="list-style-type: none"> • Response/Resolution Time for Resident Complaints and Requests for Services 3. Promote Strong Financial Management <ul style="list-style-type: none"> • Quarterly Financial Report results (Percent of Revenues Projected at Year-End Compared to Budget and Percent of Departments within Budget) • Percent of Fees Collected • Number of Significant Material Findings in Internal and External Audits • Percent of Revenue from Property Tax, Sales Tax, and State Shared Revenues and Fees for Services 4. Align Resources with City Priorities <ul style="list-style-type: none"> • Milestones Met for Strategic Plan Implementation • Percent/Number of City Departments with Strategic Plans and Performance Measures Aligned with the City's Strategic Plan 5. Establish an Exceptional, Diverse, and Engaged Workforce <ul style="list-style-type: none"> • Employee Turnover Rate • Employee Satisfaction Rating on Biennial Employee Opinion Survey • Employee Engagement Index • EEOC Statistics 6. Project a Positive Image of the City

Initiatives	<ul style="list-style-type: none"> • Establish Criteria for Prioritizing Processes for Improvement; Develop a System for Tracking Results • Review and Update the Multi-Year Financial Plan and the CIP to Align Resources and Priorities • Identify and Prioritize CIP Needs • Ensure Sustainability of the Culture of Service Initiative • Develop the Systems, Processes and Structures to Ensure Accountability for Strategic Plan • Create and Implement Technology that Supports the Strategic Plan • Manage Talent and Ensure Continuity of Leadership • Develop and Deploy a Comprehensive Employee Wellness Program • Develop an Internal and External Communications Strategy • Increase the Use of Data and Best Practices to Achieve Operational Excellence
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<p>Goal 5: Stewardship of City's Physical Assets</p> <p>Plan, provide, and maintain adequate infrastructure which supports quality of life and serves as a foundation of a healthy economy.</p>	
Outcome Measures	<ul style="list-style-type: none"> Percent of City Assets/Infrastructure that are Performing at or Above a Defined Standard for each Asset type Percent of Residents satisfied with each Asset/Infrastructure Component
Objectives and Measures	<ol style="list-style-type: none"> City-Maintained Streets in Good or Better Condition <ul style="list-style-type: none"> Maintain Standard Three (3) Days for Pothole Repairs Number of Miles Paved Conduct Institute for Transportation Research and Education (ITRE) Evaluation Standards and Adequate Funding City-Owned Building Assets that are Maintained to an Industry Standard Maintenance Schedule Availability of Capacity of Water/Wastewater Utilities Percent of Streams with a Water Quality Index of 75 or Greater
Initiatives	<ul style="list-style-type: none"> Enhance Infrastructure Development Standards Develop an Asset Management System Create Rating Systems for Physical Assets Recommend Priorities of Prospective Entryway Areas Citywide and Present to City Council for Approval (Partnership with the Durham City-County Appearance Commission) Identify Resources to Design the Central Durham Gateway Plan Determine Feasibility to Implement Citywide Fiber Optic Network Creation of a Comprehensive Building Asset Inventory Modify Wastewater Treatment Plant and Stormwater Discharge Processes in Order to Meet Water Quality Standards Develop a Prototype Asset Registry

Community Partnerships

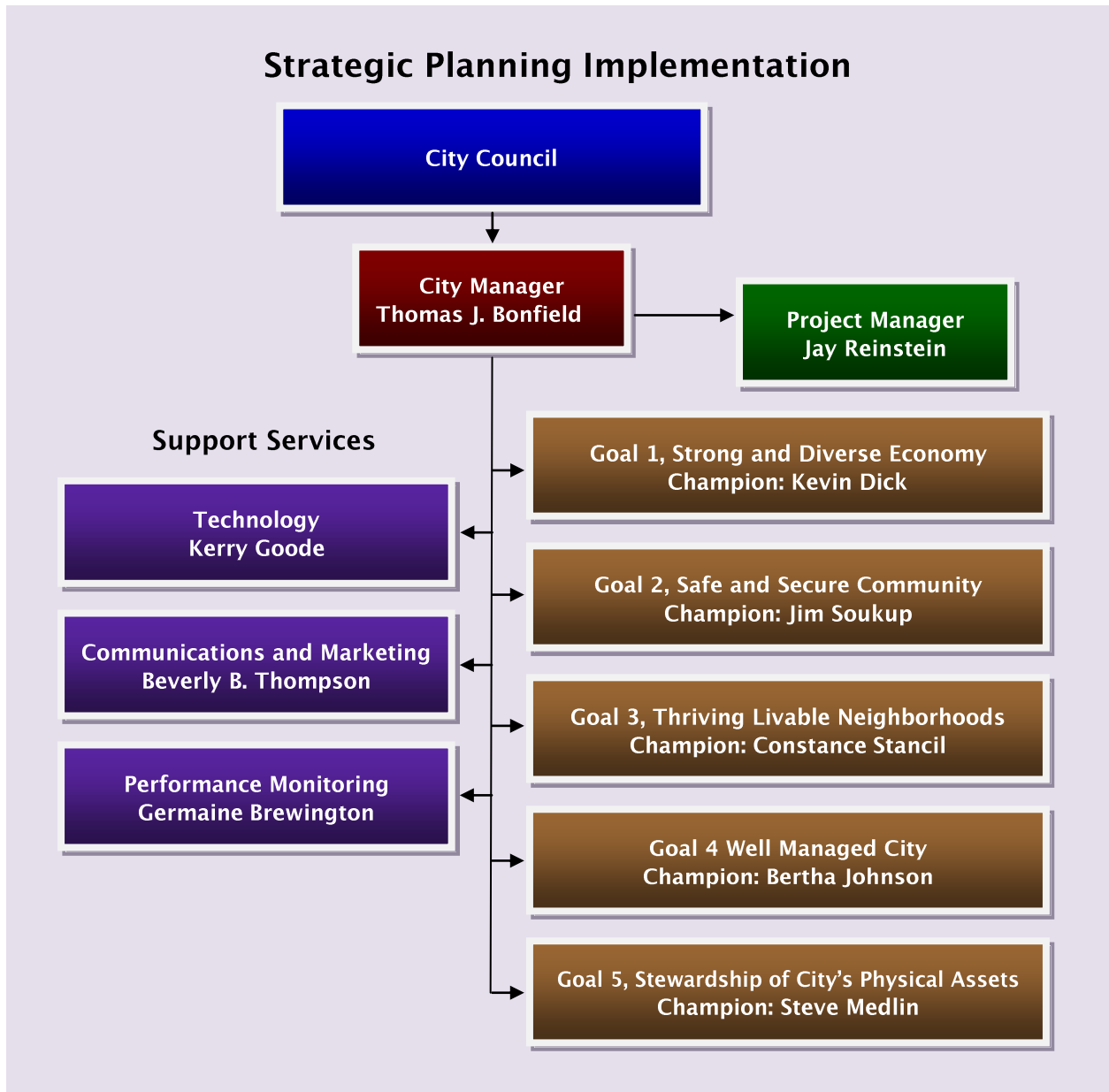
Goal	Partnerships
1. Strong and Diverse Economy	<ul style="list-style-type: none"> • Duke University • Duke University Healthcare System • Downtown Durham, Inc. • Durham Technical Community College • NC Employment Security Commission • Small Business Advisory Committee • Durham Workforce Development Board • Durham Housing Authority • North Carolina Central University • Greater Durham Chamber of Commerce • NC Employment Security Commission • Durham County • Durham Convention and Visitors' Bureau • Durham Public Schools • Durham Literacy Center • PACs/INC
2. Safe and Secure Community	<ul style="list-style-type: none"> • PACs/INC • Media • Crime Stoppers • NC Child Response Initiative • BECOMING • Juvenile Crime Prevention Council • District Attorney's Office • Durham County Sherriff's Office • SBI • FBI • US Immigration and Customs Enforcement • Bureau of Alcohol Tobacco and Firearms • DEA • Division of Alcohol Law Enforcement • US Marshall's Office • Probation and Parole
3. Thriving Livable Neighborhoods	<ul style="list-style-type: none"> • DATA • Triangle Transit • Duke University • NCCU • NC State University • Durham County • PACs/INC • Neighborhood Associations • Clean Energy Durham • Habitat for Humanity • DHA

4. Well Managed City	<ul style="list-style-type: none"> • Blue Cross Blue Shield • Citizens • PACs/INC
5. Stewardship of City's Physical Assets	<ul style="list-style-type: none"> • Development Community • Utility Service Providers • Citizens

Implementing the Strategic Plan

The Approach

It is important to institutionalize planning as a process that is used to guide the organization in making key decisions and tracking progress towards achieving its goals. Therefore strategic planning must be implemented as a process not just the production of annual documents.



Strategic Plan Implementation Team

The purpose of the Strategic Plan Implementation Team is to ensure the Plan is utilized as the roadmap for present and future organizational efforts. In addition to this overarching purpose, there are a number of specific responsibilities detailed below:

- Institutionalize and promote the strategic planning process.
- Shift to a performance-managed organization.
- Promote collaboration across departments and divisions.
- Guide decision-making based on data including allocation of resources.
- Ensure continuous organizational education and learning in related subjects.

In addition to supporting and promoting the concepts of strategic planning as a process, the Strategic Plan Implementation Team will:

- Be the owners of and ensure the production of all required planning deliverables in a timely manner as defined within the annual planning calendar.
- Be ultimately responsible to ensure data is reported, reviewed, analyzed and made available in a timely manner.
- Ensure that appropriate policies, procedures, and processes are implemented where necessary to make strategic planning a process and not a product.
- Help balance conflicting priorities and resources.
- Remove organizational barriers for implementation and establish accountability systems.



Roles and Responsibilities- This team will oversee the execution, monitoring and maintenance of all aspects of the Strategic Plan implementation and ensure alignment with internal and external partners and will champion the strategic planning process. This takes a major commitment by over 100 staff participating on one of five Goal and three Support Services (Performance Monitoring, Technology, and Communication and Marketing) ad hoc teams.

Goal Champions

- Point of contact for information and reporting progress associated with all aspects of assigned goal
- Ensure progress is being made and milestones met
- Liaison to ad hoc teams

Performance Monitoring

- Establish data collection protocols and schedule
- Oversee data analysis and reporting functions

Communication and Marketing

- Develop an internal and external communication plan to include marketing and branding the Strategic Plan
- Provide support to Goal Champions

Technology

- Provide technology support to the Goal Champions along with the Performance Monitoring and Communication & Marketing teams
- Increase the effectiveness and efficiency of the processes associated with strategic plan execution through the use of technology

Strategic Planning Calendar 2010-2013

Month	Milestone
October 2010	<ul style="list-style-type: none"> • Strategic Plan presented to City Council for comment • Strategic Plan Implementation Team to begin work on ten Priority Initiatives (37 initiatives in plan)
January 2011	<ul style="list-style-type: none"> • Selected citywide initiatives to align with FY12 budget • Performance Management System (dashboard) implementation begins
February 2011	<ul style="list-style-type: none"> • Citizens provide input on Strategic Plan and Performance Management System dashboard at Citizen Engagement Workshop
March - July 2011	<ul style="list-style-type: none"> • Strategic Plan presented to City Council for adoption • Work begins on Departmental Strategic Plans (6 pilot departments) • Work continues on Strategic Plan Initiatives • Performance Management System dashboard is implemented and available to citizens • Citizens Oversight Committee begins meeting on a monthly basis to provide input on design and functionality of Performance Management System dashboard
January 2012	<ul style="list-style-type: none"> • Strategic Plan is reviewed and updated to align with Budget • City Council is updated on Strategic Plan progress • Implementation continues
January 2013	<ul style="list-style-type: none"> • Strategic Plan is reviewed and updated to align with Budget • City Council is updated on Strategic Plan progress • Implementation continues

Appendix

Definition of Terms

Core Values	Principles that govern our behavior and the way we do business.
External Opportunities	The factors or situations that exist beyond your organization that may have a favorable effect on it.
External Challenges	The factors or situations that exist beyond your organization that can negatively affect it.
Goals	Broad statements of measurable outcomes to be achieved on behalf of customers.
Initiatives	Specific programs, strategies and activities that will help you meet your performance targets.
Measures	Meaningful indicators that assess progress toward the accomplishment of your goals and measures.
Internal Strengths	The resources or capabilities your organization has that can be used for accomplishing its mission and vision.
Internal Weaknesses	The deficiencies in resources or capabilities that currently exist that might hinder your organization's ability to be successful.
Key Customers	Any person, group or organization receiving your product(s) and/or service(s).
Mission Statement	Statement of purpose; fundamental reason for an organization's existence.
Outcome Measures	Purpose, direction, or priorities of plan that can be measured.
Objectives	Statements of what you must do well or barriers that you must overcome to achieve a specific goal.
Products and Services	Deliverables that the customer receives.
SWOC	Assessment of internal strengths, internal weaknesses, external opportunities, and external challenges.
Targets	The numerical value of the performance measure you hope to achieve.
Vision Statement	A word picture of the future that the organization intends ultimately to become or to influence.

Who Worked on the Plan

Special thanks to City staff who have spent over 2,000 hours on this comprehensive process, working on various teams, attending staff forums and information sessions, completing surveys, obtaining data, drafting the citywide Strategic Plan document, and providing support and input during the implementation phase.

Direction Setting Team	
Tom Bonfield	City Manager's Office
Wanda Page	City Manager's Office
Ted Voorhees	City Manager's Office
Keith Chadwell	City Manager's Office
Bertha Johnson	Budget and Management Services Department
Patrick Baker	City Attorney's Office
David Boyd	Finance Department
Alethea Bell	Human Resources Department
Beverly Thompson	Office of Public Affairs
Reginald Johnson	City Manager's Office
Karmisha Wallace	City Manager's Office

Plan Development Team	
Bertha Johnson	Budget and Management Services Department
Steve Medlin	City/County Planning Department
Keith Chadwell	City Manager's Office
Constance Stancil	Neighborhood Improvement Services Department
Mark Ahrendsen	Transportation Department
Katie Kalb	Public Works Department
Jesse Burwell	Police Department
Rhonda Parker	Parks and Recreation Department
Alethea Bell	Human Resources Department
Jim Soukup	911 Emergency Communications Department

Core Team	
Jay Reinstein, Project Manager	Budget and Management Services Department
Bertha Johnson	Budget and Management Services Department
Maria Ratliff	Fire Department

Scott Roberts	Fire Department
Vickie Atkinson	Budget and Management Services Department
Ruby Hargrove-Monds	Human Resources Department
Keith Luck	City/County Planning Department
Chris Boyer	General Services Department
Gina Morais	Parks and Recreation Department
Lew Wardell	Police Department

Department Directors Team	
Tom Bonfield	City Manager's Office
Germaine Brewington	Audit Services Department
Patrick Baker	City Attorney's Office
Ann Gray	City Clerk's Office
Bertha Johnson	Budget and Management Services Department
Gene Bradham	City/County Inspections Department
Steve Medlin	City/County Planning Department
Reginald Johnson	Community Development Department
Kevin Dick	Office of Economic and Workforce Development
Jim Soukup	911 Emergency Communications Department
Deborah Giles	Equal Opportunity/Equity Assurance
David Boyd	Finance Department
Bruce Pagan	Fire Department
TBA	Fleet Management Department
Joel Reitzer	General Services Department
Alethea Bell	Human Resources Department
Constance Stancil	Neighborhood Improvement Services Department
Rhonda Parker	Parks and Recreation Department
Jose Lopez	Police Department
Marvin Williams	Public Works Department
Donald Long	Solid Waste Management Department
Kerry Goode	Technology Solutions Department
Mark Ahrendsen	Transportation Department
Don Greeley	Water Management Department

Strategic Plan Liaisons Team	
Germaine Brewington	Audit Services Department
Terry Capers	City Manager's Office
Lisa Varner	City Attorney
LaVerne Brooks	City Clerk
Jay Reinstein	Budget and Management Services Department
Roy Brockwell	City/County Inspections Department
Aaron Cain	City/County Planning Department
Larry Jarvis	Community Development Department
Chris Dickey	Office of Economic and Workforce Development
Jim Soukup	911 Emergency Communications Department
Vincent Wingate	Equal Opportunity Equity Assurance Department
Joe Clark	Finance Department
Jeff Bunnell	Fire Department
TBA	Fleet Management Department
Kevin Patton	Human Resources Department
Gary Richards	Neighborhood Improvement Services Department
Mal Atkinson	Parks and Recreation Department
Keith Johnson	Police Department
TBA	Public Works Department
Robert Williams	Solid Waste Management Department
Robert Walker	Technology Solutions Department
Bob Dodson	Water Management Department
Tobin Freid	Sustainability Manager

Implementation Team	
Kevin Dick (Goal 1/Champion)	Office of Economic and Workforce Development
Keith Chadwell (Goal 1/Vice Chair)	City Manager's Office
Jim Soukup (Goal 2/Champion)	911 Emergency Communications Department
Loretta Clyburn (Goal 2/Vice Chair)	Police Department
Dan Curia (Goal 2 Vice Chair)	Fire Department
Constance Stancil (Goal 3/Champion)	Neighborhood Improvement Services Department
Keith Herrmann (Goal 3/Vice Chair)	Finance Department
Bertha Johnson (Goal 4/Champion)	Budget and Management Services Department
Steve Medlin (Goal 5/Champion)	City/County Planning Department

Chris Boyer (Goal 5/Vice Chair)	General Services Department
Ed Venable (Goal 5/Vice Chair)	Public Works Department
Beverly Thompson (Chair/ Communication)	Office of Public Affairs
Amy Blalock (Vice Chair/Communication)	Office of Public Affairs
Kerry Goode (Chair/Technology)	Technology Solutions Department
John Stinson (Vice Chair/Technology)	Technology Solutions Department
Germaine Brewington (Chair/ Performance Monitoring)	Audit Services Department
Gina Morais	Parks and Recreation Department
Vickie Atkinson	Budget and Management Services Department
Jay Reinstein (Project Manager)	Budget and Management Services Department

BUDGET AND FINANCIAL POLICIES

The City of Durham's budget and financial policies serve as the basis for developing the annual operating budget and the six-year Capital Improvement Program. The policies also serve as the basis for the City's overall financial management.

The Local Government Budget and Fiscal Control Act governs much of the activities that occur in budget preparation and execution. The City has instituted other policies voluntarily in order to address issues that are specific to Durham. Both types of policies are noted below.

Operating Budget Policies

State Statutes:

- The City of Durham will operate under an annual balanced budget ordinance in which the sum of estimated net revenues and appropriated fund balance is equal to appropriations.
- By State Statute, the annual budget for all City funds, including enterprise funds, is prepared using the modified accrual basis of accounting. This basis of accounting recognizes revenues either when they are received in cash (such as licenses or fines) or when the collection of the amount can be reasonably estimated to be received in the near future (such as property taxes). Expenditures in a modified accrual system are generally recognized in the period in which goods or services are received or when a liability is incurred. Beginning with the FY 2001-02 Comprehensive Annual Financial Report, the City is accounting for its funds on both a full accrual and a modified accrual basis, in compliance with GASB 34.
- The General Fund has an officially adopted annual budget. The appropriations in the budget ordinance within the General Fund are shown at the fund level. Although General Statutes and generally accepted accounting principles do not require an annual balanced budget for the remaining funds, all governmental and enterprise funds have legally adopted balanced budgets.
- The City may establish and operate one or more internal service funds. At the same time that it adopts the budget ordinance, the City Council must approve a balanced financial plan for each internal service fund. A financial plan is balanced when estimated expenditures do not exceed estimated revenue.
- All grants received from the federal or state governments for operating or capital purposes will be recognized in separate grant project ordinances. A balanced grant project ordinance must be adopted prior to beginning the project. A grant project ordinance is balanced when estimated expenditures do not exceed estimated revenue. Information on each grant project ordinance is included in the Annual Budget.
- The City's budget ordinance will cover a fiscal year beginning July 1 and ending June 30. In order to have the budget ordinance approved by July 1, the Preliminary Budget, together with a budget message, will be submitted to the City Council no later than June 1.
- A public hearing will be held on the Preliminary Budget prior to adoption of the budget ordinance. Notice of this public hearing will be published in the Herald-Sun. This notice will

also state that the Preliminary Budget has been submitted to the City Council and that a copy of the budget is available for review in the City Clerk's office.

City Policies:

- The City's budget will be presented in a program budget format that includes program summaries, current year accomplishments, proposed year budgetary changes, proposed strategies to be employed, and performance measures for each major program or service.
- The City's budget will include five-year revenue and appropriation projections for the General Fund and major enterprise funds. These projections integrate the current financial picture with the outlook over the next five years.
- The City Manager has the authority to transfer funds within a departmental budget or within a fund as set in the budget ordinance. The Budget and Management Services Department staff reviews all budget transfer requests and authorizes all transfers. All administrative budget transfers are documented by the Budget and Management Services Department and tracked in the City's general ledger.
- A budget ordinance amendment is necessary whenever a change is required in the original Budget Ordinance. Those changes primarily involve changes to a fund total. Any amendment must ensure that revenues and appropriations remain balanced. Budget ordinance amendments must be approved by the City Council. All budget ordinance amendments are documented by the City Clerk and the Budget and Management Services Department and tracked in the City's general ledger.

Fund Balance Levels

(City Policy, by resolution adopted June 21, 1999)

General Fund

- The City Council deems it desirable to achieve an undesignated fund balance level of 15% of adjusted appropriations. "Adjusted appropriations" shall equal total appropriations minus appropriations for debt service and transfers to other funds.
- Undesignated fund balance as a percentage of adjusted appropriations shall be no less than 12% of General Fund adjusted appropriations.
- Any fund balance between 12% and 15% of adjusted General Fund appropriations may be appropriated by the City Council, at its discretion, provided that the level of undesignated fund balance is not reduced below 12%.
- To limit the use of fund balance in the General Fund in any two-year budget preparation cycle, the maximum appropriation from fund balance shall be equivalent to a total of \$0.04 on the prevailing tax rate over the two-year planning period.
- Any fund balance beyond 15% of General Fund adjusted appropriations shall be transferred to the Capital Projects Fund. This transfer shall be made upon completion of the annual financial audit. It is the intent of the City Council to effect this transfer through an amendment to the subsequent year's Budget Ordinance.

Capital Improvement Program

State Statutes

- The City will appropriate all funds for capital projects with a capital project ordinance in accordance with State Statutes.

City Policies

- The Capital Improvement Program (CIP) is a statement of the City of Durham's policy regarding long-range physical development. This plan is developed for a six-year period and is updated and revised annually. To be included in the CIP, each project must require a total expenditure of \$100,000 and have a useful life of at least six years.
- In all likelihood, the completion of capital projects will impact the departments' operating budgets as projects are completed and require maintenance and upkeep. Consequently, the impacts of capital projects on the annual operating budget are estimated and noted in the CIP.
- It is essential that CIP project proposals support, rather than contradict, plans and policies previously adopted by the City Council in order to coordinate and direct the physical development of the City. In evaluating each CIP proposal, particular attention is given to conformity of proposals with the Comprehensive Plan, the City's broadest overall policy and planning tool for managing growth.
- The CIP assumes the use of installment sales financing exclusively for either facilities that house City functions or facilities that are joint private-public ventures. This assumption is consistent with the stated goals of maintaining the existing infrastructure and providing City services in an effective and efficient manner.
- The CIP assumes the dedication of investment income toward general capital projects. By City Council resolution, all investment income derived by the General and Capital Projects Funds is dedicated to the Capital Projects Fund. This allows the City flexibility to accelerate or decelerate the spending schedules for capital projects funded on a pay-as-you-go basis, depending on the rate of return received for the City's pooled cash. Due to the Governor's actions on state-shared revenues for FY 2001-02 and FY 2002-03 and the modest amount of investment income the City earns, investment income remains in the General Fund.
- The City will plan the use of Water and Sewer Operating Fund appropriations to capital projects on a multi-year basis to ensure that any future rate increases will be as level as possible throughout the planning period.

Investment Policy

1. Policy

It is the intent of the City of Durham to invest idle funds in accordance with North Carolina General Statutes (N.C.G.S.)159-30. The three chief objectives governing these guidelines are Safety of Principal, Liquidity, and Yield, in that order.

2. Scope

These investment guidelines apply to all the following funds in the City's cash pool (except debt

and fiduciary funds): General Fund, Special Revenue Funds, Capital Projects Funds (unless prohibited by bond indentures), Enterprise Funds (unless prohibited by bond indentures), Internal Service Funds (with the exception of Risk related funds).

3. Definitions:

Short Term Portfolio: Cash which is needed to meet the City's immediate and short-term payment obligations. Investment instruments in this portfolio will mature not later than one year after purchase.

Intermediate Portfolio: Cash which is needed to meet the City's obligations in the intermediate future (0-10 years). Investment instruments in this portfolio will mature not later than five years after purchase.

Long Term Portfolio: Cash which has been designated as an endowment to the Cemeteries and Transit Funds. Investment instruments in this portfolio will mature not later than twenty years after purchase.

4. Investment Priorities:

Consistent with the three chief policy objectives (Safety, Liquidity and Yield), all City funds covered by these guidelines, regardless of term, are invested with the following priorities:

- a. Safety - The investments will be undertaken in a manner that the principal amounts of the City's portfolio are preserved.
- b. Legality - The City's funds will be invested in accordance with State statutes and the City's investment guidelines.

The City's *short term and intermediate portfolios* are invested under the following priorities:

- a. Liquidity - PRIMARY EMPHASIS - The City's funds will be invested in a manner that they are available when needed for disbursement without undue exposure to interest rate risk or maturity in accordance with the stated maximum maturity.
- b. Yield - SECONDARY EMPHASIS - The investments will be made in instruments that provide a fair market rate of return.

The City's *long term portfolio* is invested under the following priorities:

- a. Yield - PRIMARY EMPHASIS - The investments will be made in instruments that provide a fair market rate of return.
- b. Liquidity - SECONDARY EMPHASIS - The City's funds will be invested in a manner that they are available when needed for disbursement without undue exposure to market risk or maturity in accordance with the stated maximum maturity.

5. Risk Tolerance:

The City's objective is not to incur any losses through trading of securities. If a loss has to be taken to restructure or reposition a portfolio, the action needs prior approval of the Finance Officer.

6. Delegation of Authority:

The Finance Officer, in accordance with N.C.G.S. 159-30, has the authority to invest unused city funds in any authorized investment instrument. Under the direction of the Finance Officer, the Treasury Manager has the responsibility for the day to day management of City funds. The Finance Officer can also retain investment advisors on a contractual basis to manage the City's idle cash. Any investment advisor must be fully registered under the Investment Advisory Act of 1940.

7. Oversight:

All contractual investment advisors retained by the City will be under the oversight of an independent Investment Consultant. Both the consultants and the investment advisors will be under the oversight of the Treasury Manager, under the direction of the Finance Officer.

8. Authorized Investments:

The City has statutory authorization (NCGS 159-30) to invest its funds in the following:

- a. Certificates, notes, bonds or bills of the United States, or other obligations of the United States or its Agencies, where the same are fully guaranteed as to both principal and interest by the full faith and credit of the United States.
- b. Obligations of government-sponsored entities (Instrumentality) listed in NCGS 159-30 (c) (2).
- c. Obligations of the State of North Carolina and bonds and notes of North Carolina local government or public authorities, subject to such restrictions as the Secretary of the Local Government Commission may impose.
- d. Certificates of Deposit of any North Carolina bank, secured in accordance with NCGS 159-31(b).
- e. Prime quality Commercial paper rated the highest by one of the rating agencies and meeting the standards of NCGS 159-30 (c) (6).
- f. Banker's Acceptance of a commercial bank. Either highest long term debt rating of at least one nationally recognized rating service, or the bank or its holding company is incorporated in North Carolina. In either event the security shall meet the standards of NCGS 159-30 (c) (7).
- g. Mutual funds certified by the Local Government Commission (LGC) and meeting the standards of NCGS 159-30 (c) (8).
- h. Repurchase agreements meeting the standards of NCGS 159-30 (c) (12).
- i. If the City is to invest in Collateralized Mortgage Obligations (CMO), the instruments must pass the Federal Financial Instrumentality Examination Council (FFIEC) High Risk Security Test. Having underlying securities issued by a Federal Agency or Instrumentality, must be an obligation of a federal agency or instrumentality as listed in NCGS 159-30(c)(2).
- j. Other investments authorized by NCGS 159-30.

A copy of the state investment statute (NCGS 159-30) is attached (Appendix A).

9. Diversification:

Investments of the City covered by these guidelines must be diversified to eliminate the risk of loss as a result of over-concentration of securities in a specific issuer, or a specific class of securities. The City will permit the investment of funds (excluding investments with maturity of less than 30 days) up to the following percentages for the various types of securities:

Type of Security	Maximum Percentage
U.S. Treasury Certificates, Bonds, Notes Bills, and Federal Agency issued obligations (8A)	100% of Portfolio
United States Government Instrumentality (8B)	100% of Portfolio 30% per Instrumentality
Collateralized Mortgage Obligation (8I)	25% of Portfolio 20% per Security
North Carolina State and Local Bonds I (8C)	50% of Portfolio
Certificates of Deposit (8D)	100% of Portfolio
Commercial Paper I (8E)	25% of Portfolio
Bankers Acceptance I (8F)	25% of Portfolio

LGC certified mutual funds (8G)	100% of Portfolio
Repurchase Agreements (8H)	As required for overnight cash flow
Continuous, discrete or European Callable securities (8A)	25% of Portfolio

1. Within these classifications, no more than 20% of the Portfolio may be invested with a single issuer.

2. Does not apply to bond proceeds.

Note: Parenthetical references to section 8 of these guidelines.

10. Maximum Maturities:

Short Term Portfolio: The City will not invest in securities with a final maturity of more than one year from the date of purchase.

Intermediate Term Portfolio: The City will not invest in securities with a final maturity of more than five years from the date of purchase.

Long Term Portfolio: The City will not invest in securities with a final maturity of more than twenty years from the date of purchase.

Any exception from this will need the approval of the Finance Officer.

11. Collateralization:

The City requires collateralization for Certificates of Deposit and repurchase (and reverse repurchase) agreements. In both cases the collateral must cover at least 105% of market value of principal and accrued interest.

Collateral will be held by an independent third party with whom the City has a custodial agreement. Safekeeping receipts must be supplied to the City evidencing ownership.

12. Safekeeping and Custody:

All security transactions, including collateral for repurchase agreements, entered into by the City or directed by asset managers on behalf of the City, shall be conducted on a delivery-versus-payment (DVP) basis. Securities will be listed in the City's name if issued only in book entry form or held by a third party custodian designated by the Director of Finance and City Treasury Manager and evidenced by safekeeping receipts.

13. Standards:

Investments will be made according to the "Prudent Person" standard: "Investments shall be made with judgment and care--under circumstances then prevailing--which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable income to be derived." Officials and investment advisors making investment decisions in accordance with written procedures and the investment guidelines and exercising due diligence will be relieved of personal responsibility for an individual security's credit risk or market price changes, provided deviations from expectations are reported in a timely fashion and appropriate action is taken to control adverse developments. Any person involved in the investment process shall refrain from personal business activities which could conflict with the proper execution of the investment program, or which could impair their ability to make impartial decisions. Furthermore any person involved in the investment program shall refrain from undertaking personal investment transactions with the same individual with whom business is conducted on behalf of the City. Investment consultants and advisors and employees of the City involved in the investment process, shall disclose any material or adverse financial interest that could be related to the performance of the City's

investment portfolio. City employees shall comply with the Code of Ethics of the City.

14. Performance Standards:

Short Term Portfolio: The City designates the three month Treasury Bill or Federal Agency overnight rate (whichever is higher) as the benchmark to ascertain if market yields are being achieved.

Intermediate Term Portfolio: The City designates the Lehman Intermediate Government Index net of cost as the benchmark for this portfolio.

Long Term Portfolio: The City designates the Lehman Long Term Government Bond Index net of cost as the benchmark for this portfolio.

15. Reporting:

The Treasury Manager will prepare and submit a monthly investment and cash forecasting report to the Finance Officer. In addition, a quarterly report will be submitted by the Finance Officer to the City Manager and City Council. The Treasury Manager is also responsible for providing investment and cash information to the City's external auditors.

16. Authorized Financial Dealers and Institutions:

All financial dealers and institutions that conduct investment transactions with the City will have on file with the City a Broker/Dealer Questionnaire (See Attachment 2). This questionnaire must be submitted prior to a firm being authorized to trade with the City, and annually thereafter in the month of June (does not apply to outside money managers.)

17. Guideline Exceptions:

Any deviation from the above guidelines must be confirmed in advance and in writing by the Finance Officer or Treasury Manager, under the direction of the Finance Officer.